

I hereby certify that this correspondence is being filed by depositing it with the United States Postal Service as first class mail in an envelope with sufficient postage and addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231 on the date indicated below.

Date: January 8, 2003

Signed: 

Peter K. Trzyna (Reg. No. 52,601)

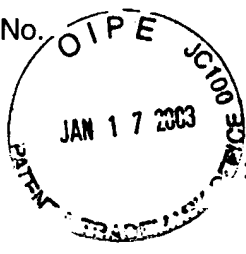
3628  
PATENT

Paper No. #21

File: Newmrkt-P1-98 3.9.04

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventor : Anthony F. Herbst and Wayne F. Perg  
Serial No. : 09/197,908  
Filed : November 23, 1998  
For : DIGITAL COMPUTER SYSTEM AND METHODS FOR  
MANAGING AN AUCTION MARKET FOR PREFERRED-  
RETURN SECURITIES  
Group Art Unit : 2761  
Examiner : Retta Yehdega



Honorable Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231

**REQUEST FOR REFUND OF PTO FEES**

SIR:

On July 1, 2002, PTO Deposit Account 50-0235 was charged \$730.00 for as Extension for Response within Third Month for the above-identified application. The fee charged to PTO Deposit Account 50-0235 for the above-identified application is large entity fee.

On November 23, 1998, a copy of the Verified Statement (Declaration) Claiming Small Entity Status was filed in the above-identified application, as shown by the PTO stamped postcard. Copies of the PTO stamped postcard and the November 23, 1998, filing are enclosed herewith.

On December 14, 1998, the PTO mailed a Filing Receipt showing the entity

status of the applicant as "\*\*SMALL ENTITY\*\*". A copy of the Filing Receipt dated December 14, 1998, is enclosed.


Please credit the amount of \$295.00 to PTO Deposit Account No. 50-0235.

The Commissioner is hereby authorized to charge any fees associated with the above-identified patent application or credit any overcharges to Deposit Account No. 50-0235.

Please direct all correspondence to the undersigned at the address given below.

Respectfully submitted,

Date: January 8, 2003

  
Peter K. Trzyna  
(Reg. No. 32,601)

P.O. Box 7131  
Chicago, IL 60680-7131

(312) 240-0824

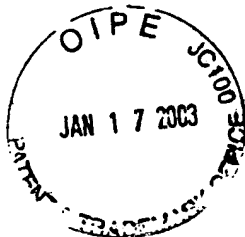
FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/197,908	11/23/98	2787	\$735.00	NEWMRKTP98-1	11	32	6

PETER K. TRZYNS  
PO BOX 7131  
CHICAGO IL 60680



Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

ANTHOPNY F. HERBST, EL PASO, TX.

FOREIGN FILING LICENSE GRANTED 12/14/98

\* SMALL ENTITY \*

TITLE

DIGITAL COMPUTER SYSTEM AND METHODS FOR MANAGING AN AUCTION MARKET  
FOR PREFERRED-RETURN SECURITIES

PRELIMINARY CLASS: 364

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GROUP 3600

DATA ENTRY BY: SMALLWOOD, EAON

TEAM: 06 DATE: 12/14/98

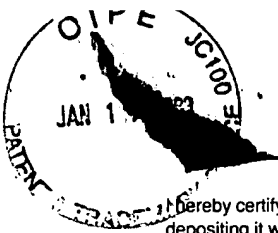
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The U.S. Patent and Trademark Office is requested to place its stamp hereon and place this in the mail to acknowledge its receipt of the following in:

Serial ☒ Patent Trademark No.: \_\_\_\_\_ Atty. Ref. No.: New Mak + 198-1  
Filing Date: 23 Nov 1998 Date Mailed: 23 Nov 1998 Express Mail ☒ NE F24712 T36745  
Inventor(s) / Applicant: Anthony Hrabst & Wayne P. P...  
Title Trademark: Digital Computing System and Method for Managing Auctions  
Y / N Orig. Patent Applic. (Utility / Plant / Design) of \_\_\_\_\_ Total Pages with at least 1 Claim &  
Abstract Plus \_\_\_\_\_ Pages of Appendix & \_\_\_\_\_  
☒ Transmittal Letter \_\_\_\_\_ Sheets of Drawings Figs. 1 to \_\_\_\_\_  
☒ Declaration and Power of Attorney \_\_\_\_\_ Proposed Amendment to Drawings  
☒ Verified Stmt. Claiming Small Entity \_\_\_\_\_ Letter to Draftsman  
Missing Parts PTO Form 1553 \_\_\_\_\_ Notice of Appeal  
☒ Assignment & PTO Form 1595 \_\_\_\_\_ Appeal / Reply Brief  
IDS & PTO Form 1449 & Cited Art \_\_\_\_\_  
Status Letter \_\_\_\_\_  
Amendment / Response \_\_\_\_\_  
Revocation of Prior Power of Attorney \_\_\_\_\_  
Check \$ 40 + 796 \_\_\_\_\_  
Petition \_\_\_\_\_  
Issue Fee Transmittal PTO Form 85B \_\_\_\_\_  
Other: \_\_\_\_\_

Y / N Original Trademark Application  
Y / N Intent to Use  
Specimens  
Sec. 8 \_\_\_\_\_ Sec. 15 \_\_\_\_\_ Combined  
Renewal 511 U. S. PTO  
Extension 09/197908  
Use

11/23/98 PPT/POSTCARD.DOC



2761  
2161

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PATENT

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File: Newmrkt-P1-98

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Signed: [Signature]  
Peter K. Trzyna (Reg. No. 32,601)

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JAN 22 2003  
GROUP 3600

**TRANSMITTAL LETTER**

SIR:

Please enter the following enclosed documents in the above-identified patent application.

1. Request for Refund of PTO Fees;
2. A copy of the Verified Statement Claiming Small Entity Status filed November 23, 1998;
3. A copy of the PTO Stamped Postcard showing receipt of the Verified Statement Claiming Small Entity Status; and
4. A copy of the Filing Receipt showing entity status as "\*\*SMALL ENTITY\*\*".

The Commissioner is hereby authorized to charge any fees associated with the above-identified patent application or credit any overcharges to Deposit Account No. 50-0235.

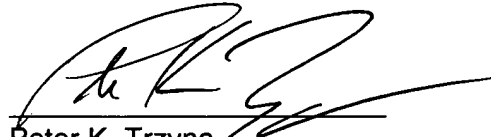
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